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FILE COPY

CONFIRMATION NO. 5246



Bib Data Sheet

| | | | | |
|------------------------------------|-------------------------------------------------|---------------------|-------------------------------|------------------------------------------------|
| SERIAL NUMBER 09/678,252 | FILING DATE 10/03/2000 RULE | CLASS 380 | GROUP ART UNIT 2132 | ATTORNEY DOCKET NO. 7451-0001-15 |
|------------------------------------|-------------------------------------------------|---------------------|-------------------------------|------------------------------------------------|

APPLICANTS

Karl L. Ginter, Beltsville, MD;
Victor H. Shear, Bethesda, MD;
Francis J. Spahn, El Cerrito, CA;
David M. Van Wie, Eugene, OR;

**** CONTINUING DATA *******

THIS APPLICATION IS A CON OF 09/328,671 06/09/1999, PAT 6,389,402 B2
WHICH IS A CON OF 08/964,333 11/04/1997 PAT 5,982,891 A
WHICH IS A CON OF 08/388,107 02/13/1995 ABN

**** FOREIGN APPLICATIONS *********IF REQUIRED, FOREIGN FILING LICENSE**

GRANTED ** 01/12/2001

| | | | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|----------------------------------|-------------------------------|------------------------------------|
| Foreign Priority claimed <input type="checkbox"/> yes <input checked="" type="checkbox"/> no | STATE OR COUNTRY MD | SHEETS DRAWING 144 | TOTAL CLAIMS 23 | INDEPENDENT CLAIMS 7 |
| 35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input checked="" type="checkbox"/> no <input type="checkbox"/> Met after Allowance | | | | |
| Verified and Acknowledged | Examiner's Signature <i>Victor Shear</i> | Initials <i>JS</i> | | |

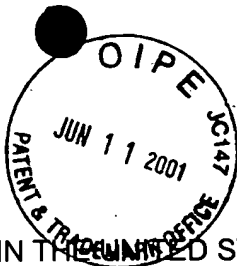
ADDRESS

Finnegan Henderson Farabow Garrett
& Dunner LLP
1300 I Street N W
Washington, DC 20005-3315

TITLE

Systems and methods for secure transaction management and electronic rights protection

| | | |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| FILING FEE RECEIVED 1084 | FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following: | <input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|



Receipt

PATENT
Customer No. 22,852
Attorney Docket No.: 7451.0001-15
InterTrust Ref. No.: IT-5.0.1.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#6

In re Application of:

Karl L. Ginter, et al.

Serial No.: 09/678,252

Filed: October 3, 2000

For: SYSTEMS AND METHODS FOR SECURE
TRANSACTION MANAGEMENT AND
ELECTRONIC RIGHTS PROTECTION

)
)
) Group Art Unit: 2162

)
) Examiner: Not Yet Assigned
)
)

RECEIVED

SEP 12 2001

OFFICE OF INITIAL PATENT EXAMINATION
Assistant Commissioner for Patents
Washington, DC 20231

Technology Center 2100

REQUEST FOR CORRECTED FILING RECEIPT

We enclose a copy of an Official Filing Receipt that was received from the U.S. Patent and Trademark Office for this matter. We note that the priority information is incorrect. It should read as follows:

THIS APPLICATION IS A CON OF 09/328,671 06/09/1999
WHICH IS A CON OF 08/964,333 11/04/1997 PAT 5,982,891
WHICH IS A CON OF 08/388,107 02/13/1995 ABN

A copy of the filing receipt with the correction made in red ink is attached as well as a copy of the transmittal letter, listing the correct priority information. It is respectfully requested that a Corrected Official Filing Receipt be issued as soon as possible.

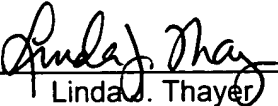
Since the error is on the part of the Patent Office, no fee is required. However, if it is determined that any fees are due in connection with the filing of this Request, please charge such fees to Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,
GARRETT & DUNNER, L.L.P.

Dated: June 7, 2001

By:


Linda J. Thayer
Reg. No. 45,681

LAW OFFICES
FINNEGAN, HENDERSON,
FARABOW, GARRETT
& DUNNER, L.L.P.
STANFORD RESEARCH PARK
700 HANSEN WAY
PALO ALTO, CALIF. 94304
650-849-8600

#6



UNITED STATES PATENT AND TRADEMARK OFFICE

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WASHINGTON, D.C. 20231
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| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 09/678,252 | 10/03/2000 | 2162 | 1084 | 7451-0001-15 | 144 | 23 | 7 |

CONFIRMATION NO. 5246

RECEIVED

CORRECTED FILING RECEIPT



OC000000006087155

Finnegan Henderson Farabow Garrett
& Dunner LLP
1300 I Street N W
Washington, DC 20005-3315

10/21/2001

RECEIVED
FINN, HENDERSON,
FARABOW, GARRET & DUNNER, LLP

Date Mailed: 05/17/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Karl L. Ginter, Beltsville, MD;
Victor H. Shear, Bethesda, MD;
Francis J. Spahn, El Cerrito, CA;
David M. Van Wie, Eugene, OR;

Domestic Priority data as claimed by applicant

671
THIS APPLICATION IS A CON OF 09/328,644 06/09/1999
WHICH IS A CON OF 08/964,333 11/04/1997 PAT 5,982,891
WHICH IS A CON OF 08/388,107 02/13/1995 ABN

Foreign Applications

If Required, Foreign Filing License Granted 01/12/2001

Projected Publication Date: N/A

Non-Publication Request: No

Early Publication Request: No

Title

Systems and methods for secure transaction management and electronic rights protection

Preliminary Class

705

Data entry by : DAY, MARIAN

Team : OIPE

Date: 05/17/2001



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

Prior Application: 09/328,671

Filed: June 9, 1999

Of: Karl L. Ginter, et al.

For: SYSTEMS AND METHODS FOR SECURE TRANSACTION MANAGEMENT
AND ELECTRONIC RIGHTS PROTECTION

Group Art Unit: 2767

Examiner: G. Barron, Jr.

SIR:

This is a request for filing a ☒ Continuation ☐ Divisional Application under 37 C.F.R. §1.53(d) of pending prior application Serial No. 09/328,671, filed June 9, 1999, which is a continuation of application Serial No. 08/964,333, filed November 4, 1997, which has since issued as U.S. Patent No. 5,982,891, which is a continuation of parent application Serial No. 08/388,107 filed February 13, 1995, now abandoned.

1. ☒ Enclosed is a complete copy of the prior application as originally filed including the drawings. I hereby verify that the attached papers are a true copy of prior application Serial No. 09/328,671, as originally filed on June 9, 1999.
2. ☐ Enclosed is a substitute specification under 37 C.F.R. §1.125.
3. ☒ Cancel Claims 2-90.
4. ☒ A Preliminary Amendment is enclosed.
5. ☒ The filing fee is calculated on the basis of the claims existing in the prior application as amended at 3 and 4 above.

| | | | | | | |
|---------------------------------------------|--------------|--------|-------|-----------|-----------|------------|
| For | Number Filed | Number | Extra | Rate | Basic Fee | \$ 710.00 |
| Total Claims | 23 | -20= | 3 | x\$18.00= | | \$ 54.00 |
| Independent Claims | 7 | -3 = | 4 | x\$80.00= | | \$ 320.00 |
| Multiple Dependent Claim(s) (if applicable) | | | | \$260.00= | | |
| Total | | | | | | |
| Reduction by 2 for filing by small entity | | | | | | |
| TOTAL FILING FEE | | | | | | \$1,084.00 |

6. ☒ A check in the amount of \$1,084.00 to cover the filing fee is enclosed.
7. ☒ The Commissioner is hereby authorized to charge any fees which may be required including fees due under 37 C.F.R. §1.16 and any other fees due under 37 C.F.R. §1.17, or credit any overpayment during the pendency of this application to Deposit Account No. 06-0916.
8. ☒ Amend the specification by inserting before the first line, the sentence:

--This application is a continuation of copending application Serial No. 09/328,671, filed June 9, 1999, which is a continuation of application Serial No. 08/964,333, filed November 4, 1997, now U.S. Patent No. 5,982,891, which is a continuation of patent application Serial No. 08/388,107 filed February 13, 1995, now abandoned -- all of which are incorporated herein by reference.
9. ☐ New formal drawings are enclosed.
10. ☒ The prior application is assigned of record to: InterTrust Technologies Corporation.
11. ☐ Priority of application Serial No. _____, filed on _____ in _____ (country) is claimed under 35 U.S.C. §119. A certified copy

☐ is enclosed or ☐ is on file in the prior application.
12. ☐ A verified statement claiming small entity status

☐ is enclosed or ☐ is on file in the prior application.
13. ☒ Applicants also enclosed a copy of the Declaration and Power of Attorney filed in the parent application.

LAW OFFICES
FINNEGAN, HENDERSON,
FARABOW, GARRETT
& DUNNER, L.L.P.
STANFORD RESEARCH PARK
700 HANSEN WAY
PALO ALTO, CALIF. 94304
650-849-6600

14. ■ Please address all correspondence to FINNEGAN, HENDERSON, FARABOW, GARRETT and DUNNER, L.L.P., 1300 I Street, N.W., Washington, D.C. 20005-3315.

PETITION FOR EXTENSION. If any extension of time is necessary for the filing of this application, including any extension in the immediate parent application, Serial No. 09/328,671, filed June 9, 1999, for the purpose of maintaining copendency between the parent application and this application, and such extension has not otherwise been requested, such an extension is hereby requested, and the Commissioner is authorized to charge necessary fees for such an extension to our Deposit Account No. 06-0916. A duplicate copy of this paper is enclosed for use in charging the deposit account.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,
GARRETT & DUNNER, L.L.P.

Date: October 2, 2000

By Linda J. Thayer
Linda J. Thayer
Reg. No. 45,681

LAW OFFICES

FINNEGAN, HENDERSON,
FARABOW, GARRETT
& DUNNER, L.L.P.
STANFORD RESEARCH PARK
700 HANSEN WAY
PALO ALTO, CALIF. 94304
650-849-8800